

**POST GRADUATE DIPLOMA IN CORPORATE  
GOVERNANCE (PGDICG)**

**00275 Term-End Examination  
December, 2014**

**MCT-003 : COMPLIANCE AND RISK MANAGEMENT**

*Time : 3 hours*

*Maximum Marks : 100*

---

**Note :** Attempt any **five** questions.

---

1. Discuss the philosophy of Corporate Governance and explain its criticality for a company. 20
2. Explain the role of Audit Committee in corporate risk management. 20
3. Prepare a check-list for the Annual General Meeting of a company. 20
4. Explain the various tools used for managing financial risk in a company. 20
5. Explain the mandatory requirements of Clause 49 regarding appointment of Independent Directors in a listed company. What role are the Independent Directors expected to play in a company? 10+10=20

- 6.** Write notes on the following : *10+10=20*
- (a) Futures and Options
  - (b) Sweat Equity
- 7.** What are the various statutory registers which are required to be maintained by a listed company in India ? *20*
- 8.** Explain the main points of the guidance note on Compliance Certificate released by the ICSI. *20*
-